

Event Vetting

Government employees, particularly high-level officials like United States Attorneys, are subject to ethical restrictions governing the types of events they may attend. Some restrictions relate to benefits, including luncheons, dinners, awards, and tokens of appreciation they may accept. Other restrictions relate, among other things, to participation in events that are sponsored by persons who do business with or lobby the Government; that have a fundraising component; where it may appear that official attendance is being used to promote the event or the sponsor; or where elected officials may be in attendance. To assist us in vetting compliance with government ethical restrictions, we would appreciate it if you could provide the following information. If you do not have specific information for each response, please provide such general or descriptive information as you currently have. Please do not hesitate to call the Office's Government Ethics Advisor, (b)(6), (b)(7)c at (b)(6), (b)(7)c or e-mail him at (b)(6), (b)(7)c to discuss this.

1. Name, date and time, and location of event.

Securities Enforcement Forum 2014, October 14, 2014, 8 am – 5 pm, Washington, D.C. (at the Four Seasons Hotel)

2. Format of event (*e.g.*, cocktails; presentations; speeches; and/or meal).

6 panel discussions; keynote speeches; breakfast, lunch and cocktail party

3. Estimated cost per attendee of event.

Estimated cost is \$250.00/attendee

4. Are any attendees being charged to attend the event? -- **Yes**

- a. If so, who (in general) is being offered free attendance, and who is expected to pay?

Free attendance for keynotes, panelists, press, sponsors and some honored guests. Other attendees expected to pay.

5. Name of entity extending the invitation and link to web site (if any).

Docket Media LLC (dba Securities Docket): <http://www.securitiesdocket.com/>
Event website: <http://www.securitiesenforcement.com/>

- a. Does the entity extending the invitation engage in lobbying? **NO**

6. Sponsor of event if different from above. **SAME**

a. Does the sponsor of the event engage in lobbying? **No**

7. Names of additional entities that will be recognized for sponsorship or support of the event.

There are numerous corporate and law firm sponsors,

Corporate: http://www.securitiesenforcement.com/?page_id=159

Law firms: http://www.securitiesenforcement.com/?page_id=1369

8. How many persons are expected to attend? **250-300**

9. Demographics of expected attendees (*e.g.*, lawyers; law enforcement; business leaders; students; etc.)

Lawyers, consultants, accountants, press, regulators, some in-house counsel/professionals

10. Are any elected officials expected to attend and, if so, what is their expected role? **No**

11. Is there a fundraising component to the event? (*e.g.*, program advertisements; dinner ticket price; silent auction)? If so, please describe.

No “fundraising” but the event has sponsors and attendees purchase tickets.

12. Expected role of U.S. Attorney (*e.g.*, simple attendance; remarks; speech)

Afternoon keynote in which he will have a one-on-one Q&A session with former SEC Enforcement Director Rob Khuzami

13. If the U.S. Attorney is being honored: **No**

- a. What are the criteria your organization applies to determine who should be honored for this specific award?
- b. What is the internal process by which your organization selects potential honorees?
- c. For what specific public service or achievement do you wish to honor the U.S. Attorney?

- d. Did any of the accomplishments of the U.S. Attorney which you wish to honor directly affect the organization or its members? (Describe.)
- e. Do any of the board members or host committee or senior staff have any matters pending before or involving the United States Attorney's Office for the Southern District of New York?
- f. Please provide a description and the value of any award item (if the award item is a plaque, certificate or trophy of little intrinsic value, you may so indicate).
- g. Who else is expected to be honored at the event?

14. If the U.S. Attorney is making a presentation, who else is expected to be making a presentation/be on a panel?

There are 6 panels. All panelists are listed here:

http://www.securitiesenforcement.com/?page_id=1369

- a. Will the U.S. Attorney be presented with a token or memento in appreciation for his presentation? **No**
 - i. ☐ Nothing
 - ii. ☐ Plaque or other memento of little intrinsic value
 - iii. ☐ Other. Please describe, including its value.

15. Describe any special seating arrangements for U.S. Attorney, *e.g.*, dais, general seating (depending on the nature of the event, the U.S. Attorney may or may not be able to accept "dais" seating.) **NONE**

16. Promotion of the event: please provide a copy of or link to the invitation/promotional material for the event (or if not available, for the prior year's event).

A series of short promotional posts and emails such as this one:

<http://www.securitiesdocket.com/2014/09/16/just-one-month-until-securities-enforcement-forum-2014/>